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Patent Application Transmittal

(only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Correspondence Address:
FROMMER LAWRENCE & HAUG LLP
745 FIFTH AVENUE
NEW YORK, NEW YORK 10151
TEL: (212) 588-0800
FAX: (212) 588-0500

Date: October 20, 2000

Attorney Docket No.: 450117-02828

ASSISTANT COMMISSIONER FOR PATENTS
Box Patent Application
Washington, D.C. 20231

Sir:

With reference to the filing in the United States Patent and Trademark Office
of an application for patent in the name(s) of:

Richard STIRLING-GALLACHER

entitled:

SOVA TURBO DECODER WITH DECREASED NORMALISATION COMPLEXITY

The following are enclosed:

- ☒ Specification (8 pages)
☒ 5 Sheet(s) of Drawings
☒ 10 Claim(s) (including 2 independent claim(s))
☐ This application contains a multiple dependent claim

- ☒ Our check for \$ 750.00, calculated on the basis of the claims as
amended by any enclosed preliminary amendment as follows:

Basic Fee, \$710.00 (\$355.00)	\$ 710.00
Number of Claims in excess of 20 at \$18.00 (\$9.00) each:	-0-
Number of Independent Claims in excess of 3 at \$80.00 (\$40.00) each:	-0-
Multiple Dependent Claim Fee at \$270.00 (\$135.00)	-0-
Total Filing Fee	\$ 710.00
<input checked="" type="checkbox"/> Assignment Recording Fee \$40.00	\$ 40.00

- ☒ Oath or Declaration and Power of Attorney
☒ New ☒ signed ☐ unsigned
☐ Copy from a prior application (37 C.F.R. 1.63(d))

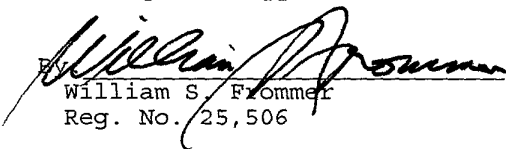
- ☐ Certified copy of each of the following application(s) to substantiate
the claim(s) for priority made in the Declaration:

<u>Application No.</u>	<u>Filed</u>	<u>In</u>
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Please charge any additional fees required for the filing of this
application or credit any overpayment to Deposit Account No. 50-0320.

Respectfully submitted,

FROMMER LAWRENCE & HAUG LLP
Attorneys for Applicant


William S. Frommer
Reg. No. 25,506

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Richard STIRLING-GALLACHER
Filed : Herewith
For : SOVA TURBO DECODER WITH DECREASED NORMALISATION
COMPLEXITY

745 Fifth Avenue
New York, New York 10151
Tel. (212) 588-0800

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PRELIMINARY AMENDMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Before the issuance of the first Official Action,
please amend the above-identified application as follows:

IN THE CLAIMS:

Please amend the claims as follows:

Claim 3, line 1, delete "or 2";

Claim 4, line 3, delete "anyone of the preceding
claims" and insert "--claim 1--;

Claim 7, line 1, delete "or 6";

Date of Deposit October 20, 2000

I hereby certify that this paper or fee, and a patent application and accompanying papers, are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

Charles Jackson

(Typed or printed name of person mailing paper or fee)

Charles Jackson

(Signature of person mailing paper or fee)

PATENT
450117-02828

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION FOR LETTERS PATENT

TITLE: SOVA TURBO DECODER WITH DECREASED
NORMALISATION COMPLEXITY

INVENTOR: Richard STIRLING-GALLACHER

William S. Frommer
Registration No. 25,506
FROMMER LAWRENCE & HAUG LLP
745 Fifth Avenue
New York, New York 10151
Tel. (212) 588-0800

European Patent Application

Sony International (Europe) GmbH

"SOVA Turbo Decoder with decreased normalisation complexity"

S99P5104EP00/PAE99-065TRDE

5 P22888

SOVA Turbo decoder with decreased normalisation complexity

10 The present invention relates to a turbo decoder using a soft output Viterbi algorithm, a mobile communications device comprising such a turbo decoder as well as to a turbo decoding method using a soft output Viterbi algorithm (SOVA).

15 Turbo coding was first proposed by Berrou et al, „Near Shannon Limit Error-Correcting Coding and Decoding: Turbo-Codes“, Proc. IEEE Conference on Communications (ICC 93), pages 1064 to 1070, 1993. There has been much interest in turbo coding due to the remarkable BER performance achievable. Turbo decoding combines the concepts of iterative decoding, soft in/soft out decoding, recursive systematic convolutional (RSC) encoding and random interleaving.

20 Turbo-coding (and the corresponding decoding) can either be performed as a parallel or serial concatenated scheme. The present invention relates to both schemes. For the parallel case the encoder consists of two or more encoding units which send coded interleaved and non-interleaved versions of the incoming data stream. Figure 8 shows
25 an example of encoders suitable for a parallel system using two encoding units.

For the case of the serial concatenated scheme two or more encoding units are used in series. The first encoding unit encodes the incoming data stream. (For the case of a coding scheme with two encoding units this encoder is referred to as the outer encoder).
30 The output of this first encoding unit is then passed to an interleaver, the output of which then feeds the second encoding unit. The structure is then repeated for the number of encoding units in the system. Figure 9 shows an example of a serial system using two encoding units (coder 1, coder 2).

35 A typical turbo decoder consists of two or more soft in/soft out decoders, which decode the encoded stream in an iterative loop. Two types of soft in/soft out decoders are commonly used, i.e. the maximum a posteriori (MAP) and the soft output Viterbi algorithm (SOVA). The MAP yields higher performance than the SOVA (for a given

number of iterations) but with the drawback of higher complexity. In the frame work of the present invention only the SOVA turbo decoder is considered.

From US-A-5,537,444 an extended list output and soft symbol output Viterbi algorithm is proposed.

As it is known from Papke, Robertson, „Improved Decoding with the SOVA in a Parallel Concatenated (Turbo-code) Scheme“, Proc. IEEE Conference on Communications (ICC 96), pages 102 to 106, 1996, the extrinsic information produced by SOVA decoder is too optimistic. To improve performance it was suggested to multiply the extrinsic information at the output of each SOVA decoder by a normalisation factor. Figure 3 shows a schematic representation of a parallel turbo decoder with normalisation units 27, 33 after each decoding unit 25 and 30 respectively.

In fig. 5 a schematic representation of a serial turbo decoder is shown.

The normalisation factor for the decoding unit i is given by

$$c_i = m_i \frac{2}{\sigma_i^2} \quad (1)$$

Where m_i is the mean and σ_i^2 is the variance of the extrinsic information from the decoding unit i . As it comes clear from figure 3, the normalisation unit 27, 33 provided for every decoding unit 25 and 30, respectively, adds extra complexity (which increases with frame size) to the turbo decoder.

One method to reduce the complexity of normalisation techniques for a SOVA turbo decoder was proposed by Blazek et al, „A DSP-based Implementation of the Turbo Decoder“, Proc. IEEE Global Telecommunications Conference (GLOBECOM 98), Sydney, Australia, pages 3201 to 3205, 1998. According to this technique a constant value for c_i is used which increases with each iteration:

$$c_i = b_i + na_i \quad (2)$$

Where b_i is the base value, a_i is the iteration increment and n is the iteration number. Although this method has very low complexity (there are no complex calculations required) suitable numbers have to be found which are good for all scenarios.

It is the object of the present invention to further decrease the normalisation complexity for SOVA turbo decoders.

- 5 According to the present invention this object is achieved by means of the features of the independent claims. The dependent claims develop further the central idea of the present invention.

10 According to the present invention therefore a turbo decoder with at least two effective decoding units using a soft output Viterbi algorithm (SOVA) is used. "Two effective decoding units" means that in the hardware implementation either two or more decoding units are provided or that in the hardware implementation one decoding unit is used twice or more. The outputs of the decoding units are normalised by means of normalisation units. Thereby only a subset of the decoding units of the turbo decoder is provided with a normalisation unit at its output side.

15 The turbo decoder can comprise two decoding units, wherein only the first decoding unit is provided with the normalisation unit at its output side.

20 According to the present invention furthermore a mobile communications device comprising a turbo decoder as set forth above is provided.

25 According to another aspect of the present invention a turbo decoding method using a soft output Viterbi algorithm is proposed. A plurality of decoding units are used and outputs of the decoding units are normalised with a normalisation factor. Only a subset of the decoding units of the turbo decoder is normalised with a normalisation factor variable during operation, whereas the other decoding units are normalised with a time constant normalisation factor, which can be equal to 1.

30 Two decoding units can be used, wherein the first decoding unit is normalised with the normalisation factor variable during operation and the second decoding unit is normalised with the time constant normalisation factor.

35 The normalisation factors are calculated on the basis of the means and variance of the extrinsic information produced by the associated decoding unit. Alternatively a constant value increasing with each iteration can be used as time variable normalisation factor (as it is from Blazek et al).

The turbo decoding method can be performed as a parallel concatenated scheme.

Further features, advantages and particularities of the present invention will become evident by means of the following detailed description of an embodiment taken into conjunction with the figures of the enclosed drawings.

5 Figure 1 shows schematically a wireless transmission chain, in which the present invention can be applied,

Figure 2 shows a schematic representation of the present invention.

10 Figure 3 shows a schematic representation of a known SOVA turbo decoder with normalisation units, operating according to the parallel scheme,

15 Figure 4 shows a schematic representation of a SOVA turbo decoder with normalisation units operating according to the serial scheme,

Figure 5 shows a schematic representation of a known SOVA turbo decoder with normalisation units operating to the serial scheme,

20 Figure 6 shows the result of a simulation,

Figure 7 shows a further simulation result to compare the effect of the present invention with the effects of the prior art techniques,

25 Figure 8 shows schematically a parallel turbo encoder, and

Figure 9 shows schematically a serial turbo encoder.

30 A transmission system according to the present invention will now be explained generally with reference to figure 1. As shown in figure 1, different data can be transmitted in a wireless manner. The data to be transmitted can comprise voice data from a telephone 1, 23, digital video data, for example, from a video camera 5 to be transmitted to a monitor 20 and other digital information data, as for example, data from a computer 6 to be transmitted to another computer 19. The analog voice data from a telephone 1 are A/D-converted 2, voice coded 3 and then supplied to a channel
35 encoder 4. The data, for example, from a video camera 5 or from the computer 6 are also supplied to the channel encoder 4. The different data, for example, the voice data and the video data can be transmitted simultaneously. The data from the channel encoder 4 are given to a interleaver 7 and then supplied to a modulator 8 providing for

a symbol mapping. The modulated data from modulator 8 are then D/A converted 9 and up converted 10. The up converted data are amplified 11, and then transmitted over a wireless transmission path 12.

5. On the receiving side, the received data bit stream is downconverted in a baseband downconverter 13. The downconverted data output from the baseband downconverter 13 are digitised in an A/D converter 14 and input to a demodulator 15. The output of the demodulator 15 is passed through a deinterleaver 16, a channel decoder 18, a voice decoder 21 and is then D/A converted in a D/A converter 22. Finally the analog data is output on a terminal such as a telephone 23. Obviously digital data can be supplied directly from the channel decoder 18 for example to a video monitor 20 or a computer terminal 19

- 15 With reference to figure 2 a SOVA turbo decoder according to the parallel scheme will be explained.

- 20 The bit stream to be decoded is at first serially/parallel converted in a serial/parallel conversion unit 24. The output of the serial/parallel conversion unit 24 is supplied to a first decoding unit 25, to the output of the first decoding unit 25, to the input of a second decoding unit 30 as well as to the input of an interleaver 29. From the output of the first decoding unit 25 an output from an deinterleaver 26 as well as the input of the first decoding unit 25 are subtracted. The thus processed output of the first decoding unit 25 is then normalised by means of a normalisation unit 27 such that the processed output of the first decoding unit 25 is multiplied with a normalisation factor which is
- 25 variable during the operation of the turbo decoder 34. The normalised output is supplied to an interleaver 28. The output of the interleaver 28 is supplied to the input of the second decoding unit 30 along with the output of the interleaver 29 and the serial/parallel converted data. From the output of the second decoding unit 30 the output of the first and second interleaver 28 and 29, respectively, is subtracted. The
- 30 thus processed output of the decoding unit 30 is then fed back to a deinterleaver 26 and furthermore to the input and output side of the first decoding unit 25 as described above.

- 35 Note that it is not necessary to provide two decoding units in the hardware implementation. Two "effective" decoding units are sufficient. "Two effective decoding units" means that in the hardware implementation either two or more decoding units are provided or that in the hardware implementation one decoding unit is used twice or more.

The output signal of the second decoding unit 30 is furthermore supplied to deinterleaver 31. The estimated decoded data are provided at the output 32 of the deinterleaver 31.

- 5 As can be seen from figure 2, the normalisation unit 27 is only provided at the output side of the first decoding unit 25. No normalisation unit is provided for the second decoding unit 30.

- 10 The fact that no normalisation unit is provided for the second decoding unit 33 can also be expressed in that the output of the second decoding unit 33 is not normalised by a normalisation factor which is variable in time and/or operation of the SOVA turbo decoder.

- 15 Fig. 4 shows a SOVA turbo decoder according to the serial scheme. Note that in comparison to fig. 2 (showing the parallel case) an additional deinterleaver 35 is provided. The interleaver 29 according to the example of fig. 2 is omitted.

Therefore, only a subset of the SOVA outputs are normalised. The normalisation factor can be particularly:

20

$$c_1 = m_1 \frac{2}{\sigma_1^2} \quad (3)$$

$$c_2 = 1 \quad (4)$$

- 25 In this way the complexity of the SOVA turbo decoder can be reduced and since the correctly normalised extrinsic information from the decoding unit 27 is fed to the decoding unit 33 it also has an indirect effect on the extrinsic information produced by the decoding unit 33.

- 30 To investigate the performance of the proposed concept, simulations have been conducted in an AWGN channel. The parameters of the simulation are summarised in the following table 1:

35

Coder connections	[1, N(D)/G(D) G(D) = 1 + D ² + D ³ + D ⁴ N(D) = 1 + D + D ² + D ⁴
Code rate	1/3

Frame size	1000
Decoding window size	Whole frame
SOVA window size	30 bits
SOVA update rule	Hagenauer
Interleaver type	Random
Iterations	6

Simulation results are shown in figures 6 and 7. The BER for the SOVA without normalisation, with normal normalisation and with normalisation only for the first decoder are shown.

Figure 6 shows the performance of the different normalisation scheme against iteration at 2 dB E_b/N_0 . As can be seen by normalising only the first decoder there are no convergence problems. The performance is considerably improved over the no normalisation case and performance is extremely close to the traditional scheme of normalising both decoders.

Figure 7 shows the BER against E_b/N_0 after 6 iterations. As can be seen at a BER of 3×10^{-5} there is a 0.25 dB difference in the required E_b/N_0 between normalising both decoders and normalising only the first decoder. The difference between no normalisation and normalising both decoders is much greater.

It has been shown that normalising only a subset of the SOVA decoders in the turbo decoder yields very good performance. This concept may be used in certain situation where computational complexity needs to be reduced. In addition if the decoder is implemented as a parallel processing decoder the number of gates could be reduced. If the SOVA turbo decoder is to be used in a wide range of different situations (i.e. varying multipath channel) it may provide enhanced performance to the method suggested by Blazek et al but with the disadvantage of slightly increased complexity. The decision to use the technique or not, may depend upon the required BER. If for the parameters we have chosen a target BER below 5×10^{-5} is required it may be preferable to use normalisation for both decoders since the number of iterations (and hence computational complexity) required is less than if only one decoder was normalised.

The present invention therefore describes a reduced complexity normalisation technique for the soft output Viterbi algorithm (SOVA) used in a turbo decoder. The normalisation is required for the SOVA decoder because the extrinsic information

5.

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European Patent Application

Sony International (Europe) GmbH

"SOVA Turbo Decoder with decreased normalisation complexity"

S99P5104EP00/PAE99-065TRDE

5 P22888

Claims:

- 10 1. Turbo decoder with at least two effective decoding units using a soft output Viterbi algorithm,
wherein outputs of the decoding units (25, 26) are normalized by means of normalization units 27),
characterized in that
only a subset (25) of the decoding units of the turbo decoder (34) is provided with a
15 normalization unit (27) at its output side.
2. Turbo decoder according to claim 1,
characterized in that
only decoding units (30) being provided with a normalized output of a preceding
20 decoding unit (25) are not provided with normalization units at their output side.
3. Turbo decoder according to claim 1 or 2,
characterized in that
it comprises two decoding units (25, 30), wherein only the first decoding unit (25) is
25 provided with a normalization unit at its output side.
4. Mobile communications device,
characterized in that
it comprises a turbo decoder (34) according to anyone of the preceding claims.
30
5. Turbo decoding method using a soft output Viterbi algorithm,
wherein a plurality of effective decoding units (25, 30) are used and outputs of the
decoding units (25, 30) are normalized (27) with a normalization factor,

only a subset (25) of the decoding units of the turbo decoder is normalized with a normalization factor variable during operation and the other decoding unit(s)(30) are/is normalized with a time constant normalization factor.

6. Turbo decoding method according to claim 5, characterized in that time constant normalization factor is equal to one.

15 8. Turbo decoding method according to anyone of claims 5 to 7,
characterized in that
two decoding units (25, 30) are used, wherein the first decoding unit (25) is normalized
(27) with a normalization factor variable during operation and the second decoding unit
(30) is normalized with a time constant normalization factor.

9. Turbo decoding method according to anyone of claims 5 to 8, characterized in that the normalization factors are calculated on the basis of the means and variance of the extrinsic information produced by the associated decoding unit.

10. Turbo decoding method according to anyone of claims 5 to 9, characterized in that it is performed as a parallel concatenated scheme.

30

European Patent Application

Sony International (Europe) GmbH

"SOVA Turbo Decoder with decreased normalisation complexity"

S99P5104EP00/PAE99-065TRDE

5 P22888

Abstract

10 To obtain best performance from a turbo decoder using a SOVA algorithm a normalisation unit (27) is used. By using normalisation the complexity of the decoder is increased. To decrease the complexity it is proposed not to normalise all of the decoding units (27, 33) output. In this way computational complexity is reduced for only a small degradation in performance.

15 (Fig. 2)

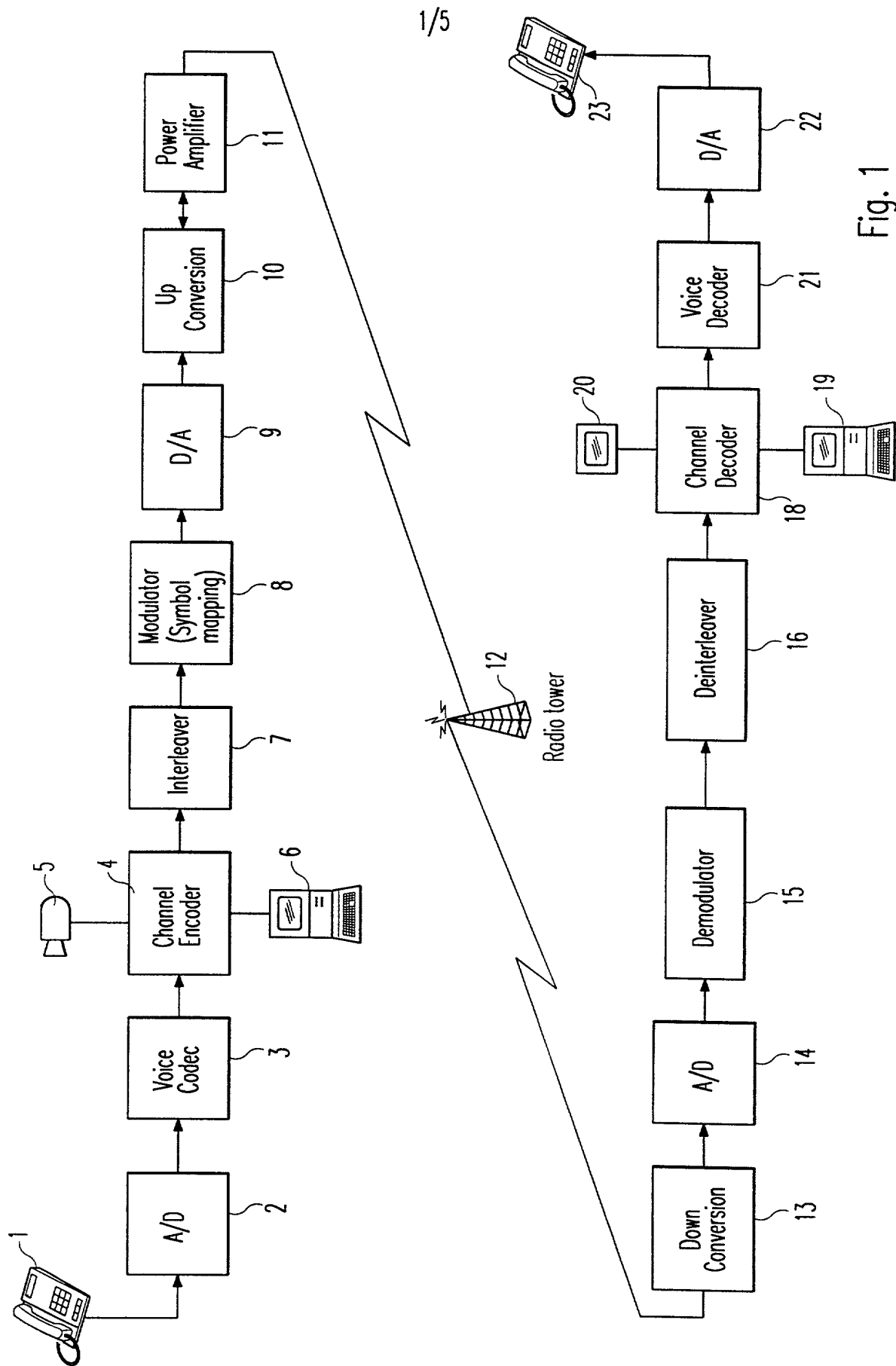


Fig. 1

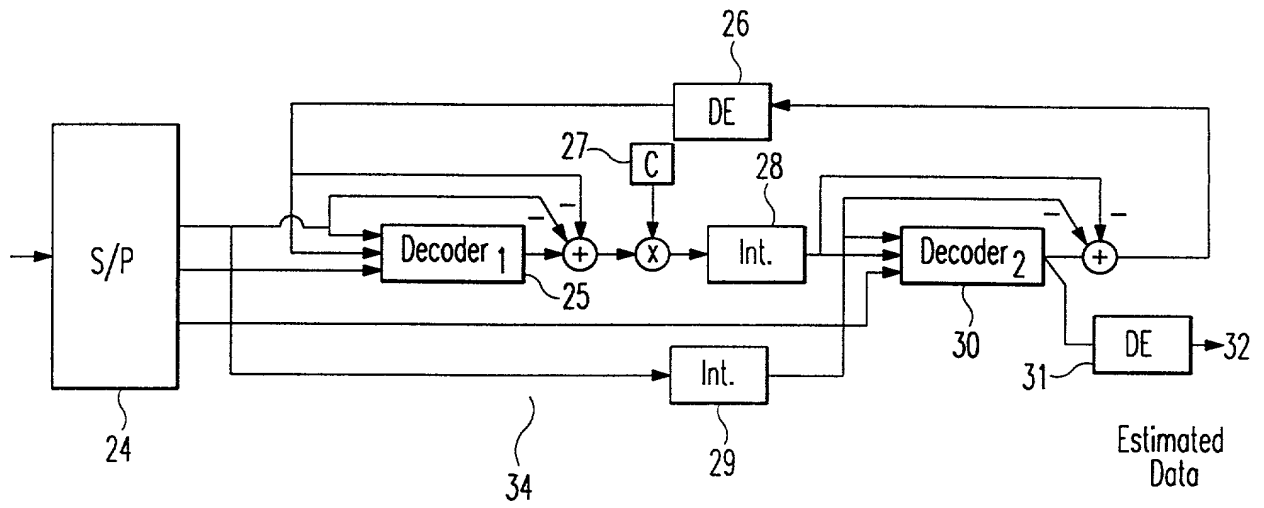


Fig. 2

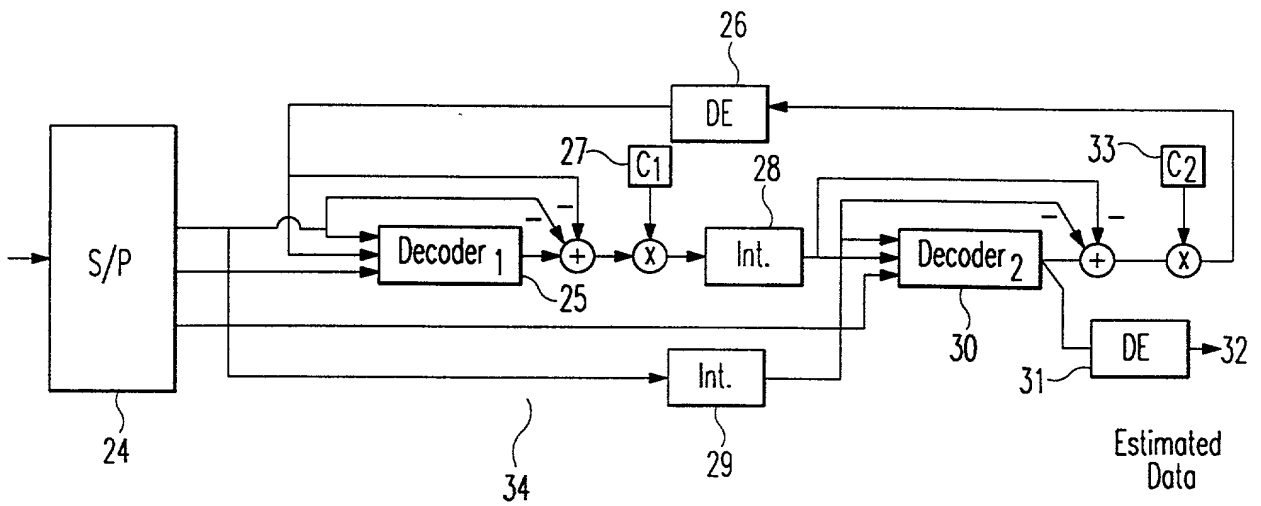


Fig. 3

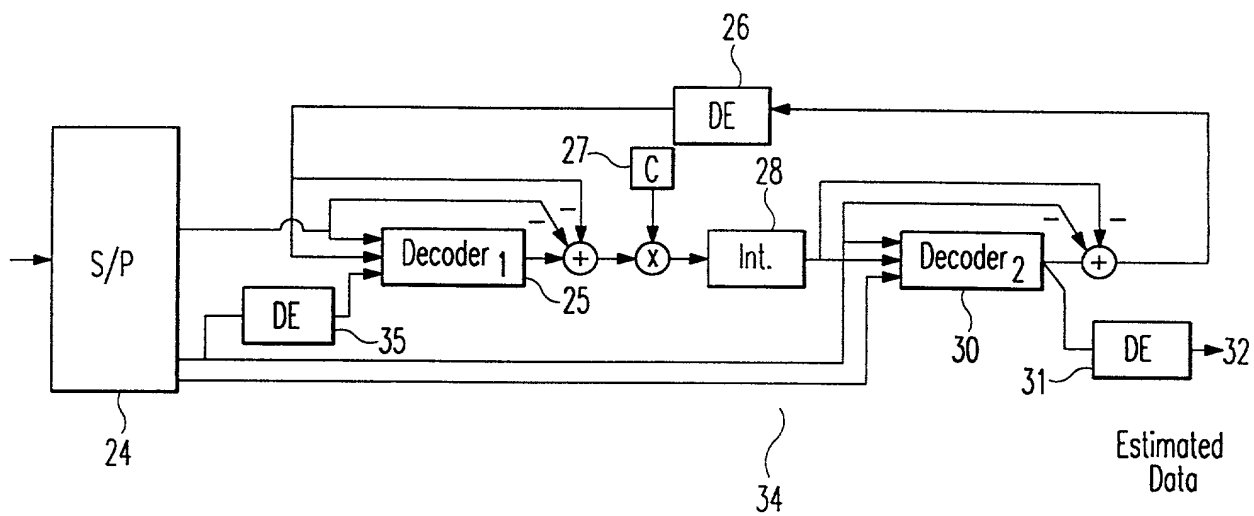


Fig. 4

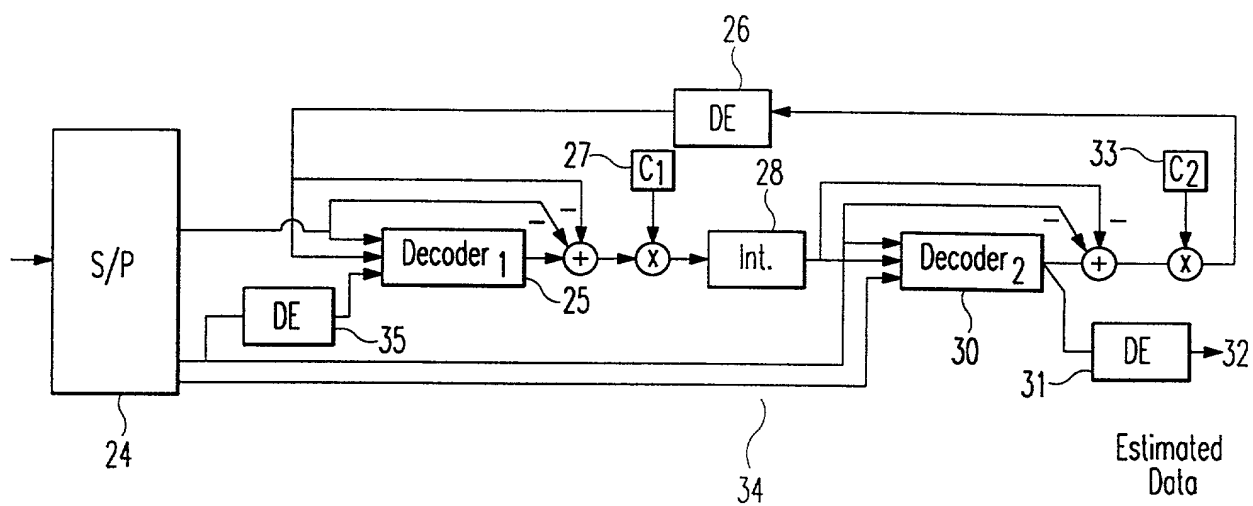


Fig. 5

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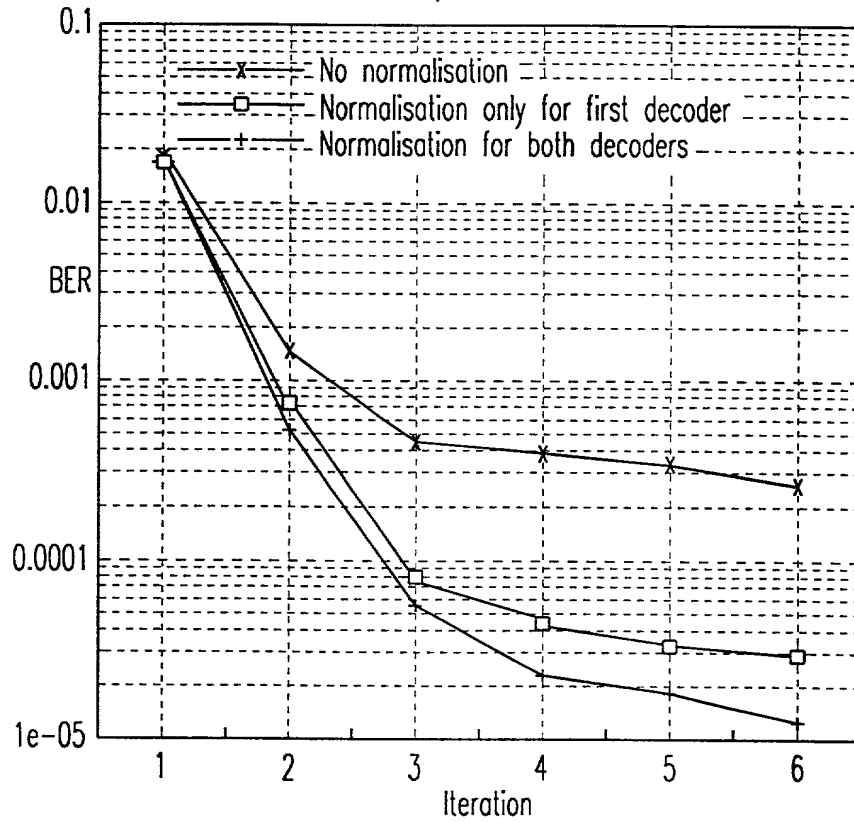


Fig. 6

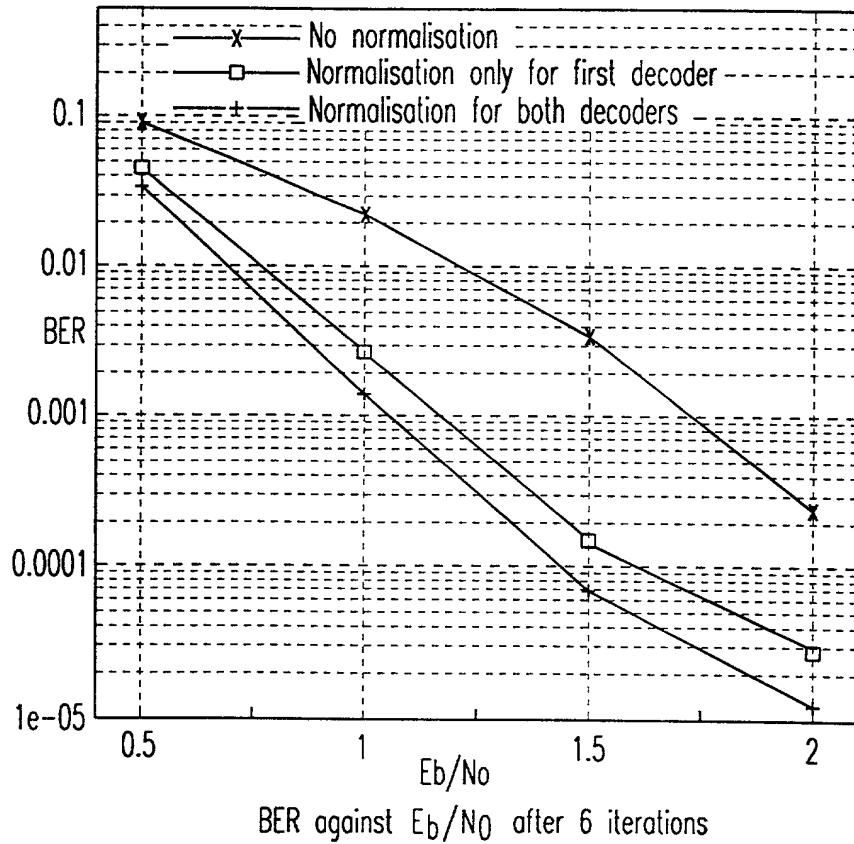


Fig. 7

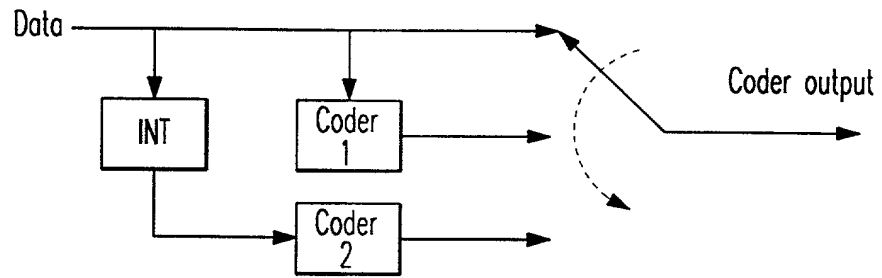


Fig. 8

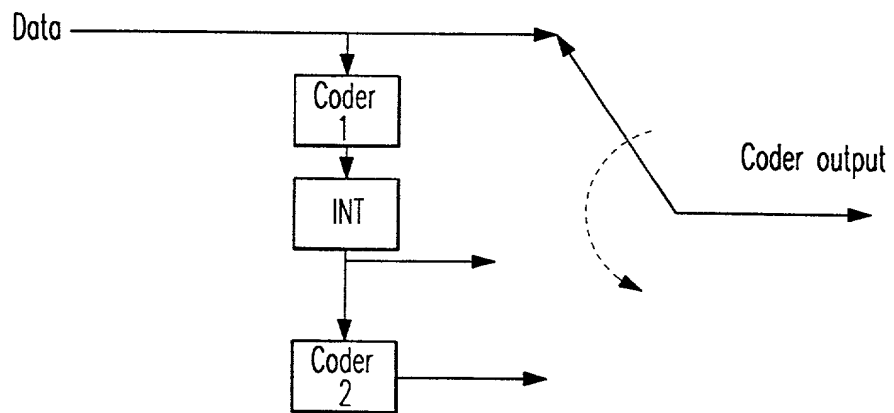


Fig. 9

DECLARATION FOR PATENT APPLICATION (JOINT OR SOLE)
(Under 37 CFR § 1.63; with Power of Attorney)
FROMMER LAWRENCE & HAUG LLP

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,
I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention ENTITLED:

SOVA Turbo decoder with decreased normalisation complexity

the specification of which

☐ is attached hereto.
☐ was filed on _____ as Application Serial No.

with amendment(s) through _____ (if applicable, give dates).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Sec. 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s) [list additional applications on separate page]:

Priority Claimed:

Number
99 121 070.9

Country
EP

Filed(Day/Month/Year)
21/10/99

Yes ☒ No ☐

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Sec. 1.56, which became available between the filing date of the prior application and the national or PCT international filing date of this application:

Prior U.S. Application(s) [list additional applications on separate page]:

Appln. Ser. Number:

Filed (Day/Month/Year):

Status (patented, pending, abandoned):

I hereby appoint WILLIAM S. FROMMER, Registration No. 25,506, and DENNIS M. SMID, Registration No. 34,930 or their duly appointed associate, my attorneys, with full power of substitution and revocation, to prosecute this application, to make alterations and amendments therein, to file continuation and divisional applications thereof, to receive the Patent, and to transact all business in the Patent and Trademark Office and in the Courts in connection therewith, and specify that all communications about the application are to be directed to the following correspondence address:

WILLIAM S. FROMMER, Esq.
c/o FROMMER LAWRENCE & HAUG LLP
745 Fifth Avenue
New York, New York 10151

Direct all telephone calls to:
(212) 588-0800
to the attention of:
WILLIAM S. FROMMER

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

INVENTOR(S):

Signature: R. A. Stirling - Gallacher

Date: 8/9/2000

Full name of sole or first inventor: Richard STIRLING-GALLACHER

Residence: Stuttgart, GERMANY

Citizenship: British

Post Office Address: c/o Advanced Technology Center Stuttgart
Sony International (Europe) GmbH
Hedelfinger Str. 61
70327 Stuttgart, GERMANY

Signature: _____

Date: _____

Full name of 2nd joint inventor (if any): _____

Residence: _____

Citizenship: _____

Signature: _____

Date: _____

Full name of 3rd joint inventor (if any): _____

Residence: _____

Citizenship: _____

Note: In order to qualify for reduced fees available to Small Entities, each inventor and any other individual or entity having rights to the invention must also sign an appropriate separate "Verified Statement (Declaration) Claiming [or Supporting a Claim by Another for] Small Entity Status" form [e.g. for Independent Inventor, Small Business Concern, Nonprofit Organization, individual Non-Inventor].

Note: A post office address must be provided for each inventor.